



RECEIVED

JUN 06 2002

COPY OF PAPERS  
ORIGINALLY FILED

OFFICE OF PETITIONS

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/026,747	
	Filing Date	December 20, 2001	
	First Named Inventor	Janat Horn	
	Group Art Unit	2161	
	Examiner Name		
Total Number of Pages in This Submission	9	Attorney Docket Number	4797-93

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Petition under 37 CFR 1.10(c) to correct filing date; copy of official filing receipt; copy of Express Mailing label and printout of corresponding tracking information from U.S.P.S. website; copy of Certificate of Express Mailing; copy of Utility Patent Application Transmittal sheet; return receipt postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	
Date	05/13/2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: May 13, 2002			
Typed or printed name	Judith Ivens		
Signature		Date	05/13/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY OF PAPERS  
ORIGINALLY FILED

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Janat Horn, et al.                      Group Art Unit: 2161  
Serial No.: 10/026,747                      Examiner: Not yet assigned  
Filed: December 20, 2001  
Attorney Docket No.: 4797-93  
For: **SYSTEM AND METHOD FOR FACILITATING SECURITIES  
BORROWING TRANSACTIONS**

May 3, 2002

Box DAC  
Commissioner for Patents  
Washington, D.C. 20231

**PETITION UNDER 37 C.F.R. §1.10(c) TO CORRECT FILING DATE**

Dear Sir/Madam:

The official filing receipt for the above-mentioned application (copy enclosed) bears an incorrect application filing date of December 22, 2001. The application was deposited with the United States Postal Service using the Express Mail Post Office to Addressee service as specified under 37 C.F.R. §1.10 on December 20, 2001, and is therefore entitled to a filing date of December 20, 2001. A copy of the Express Mailing label (Label No. EK051318535US) and a printout of the corresponding tracking information from the U.S. Postal Service website are enclosed. Copies of the Certificate of Express Mailing and the Utility Patent Application Transmittal sheet, both bearing Express Mailing Label No. EK051318535US, and dated December 20, 2001, are also enclosed.

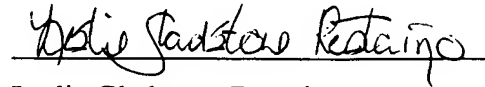
As can be seen from the copy of the Express Mailing label, the "date in" is unclear. While at first glance the "date in" appears to read December 22, 2002, closer examination reveals that the second digit of the "day" in the "date in" may be read as either a two, or as a zero with a stray mark drawn horizontally through it. It is therefore uncertain from the Express Mailing label alone whether the correct "date in" is December 20, 2002, or December 22, 2002. The tracking information from the U. S. Postal Service website for Express Mailing Label No. EK051318535US clearly shows that the package was accepted by

BRMFS#312600v1

**RECEIVED**  
JUN 06 2002  
OFFICE OF PETITIONS

the Postal Service on the date of deposit, December 20, 2001. Accordingly, applicants respectfully request the application be accorded the correct filing date of December 20, 2001.

Respectfully submitted,

A handwritten signature in cursive script, reading "Leslie Gladstone Restaino", written over a horizontal line.

Leslie Gladstone Restaino  
Reg. No. 38,893  
Attorney for Applicants  
BROWN RAYSMAN MILLSTEIN  
FELDER & STEINER LLP  
55 Madison Avenue  
Morristown, New Jersey 07960  
(973) 285-3242



**COPY OF PAPERS  
ORIGINAL FILED**

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/026,747	12/22/2001	2161	1142	4797-93	5	33	5

**CONFIRMATION NO. 2100**

**FILING RECEIPT**



\*OC000000007330597\*

Leslie Gladstone Restaino, Esq.  
Brown Raysman Millstein Felder & Steiner LLP  
4th Floor  
55 Madison Avenue  
Morristown, NJ 07960

Date Mailed: 01/18/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Janat Horn, Brooklyn, NY;  
Edward Vakhovsky, Brooklyn, NY;  
Irina Idislavovna Nesterovich, Fair Lawn, NJ;  
Amiran Margalitachvili, Bronx, NY;

**Domestic Priority data as claimed by applicant**

**Foreign Applications**

If Required, Foreign Filing License Granted 01/18/2002

Projected Publication Date: 06/26/2003

Non-Publication Request: No

Early Publication Request: No

**Title**

System and method for facilitating securites borrowing transactions

**Preliminary Class**

**RECEIVED**

**JUN 06 2002**

**OFFICE OF PETITIONS**

705

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



**POST OFFICE TO ADDRESS**

**EXHIBIT A-5-2-10**

UNITED STATES POSTAL SERVICE  
ORIGIN (POSTAL USE ONLY)

1	2	3	4	5	6	7	8	9	10
11	12	13	14	15	16	17	18	19	20
21	22	23	24	25	26	27	28	29	30
31	32	33	34	35	36	37	38	39	40
41	42	43	44	45	46	47	48	49	50
51	52	53	54	55	56	57	58	59	60
61	62	63	64	65	66	67	68	69	70
71	72	73	74	75	76	77	78	79	80
81	82	83	84	85	86	87	88	89	90
91	92	93	94	95	96	97	98	99	100

CUSTOMER USE ONLY

FOR PICKUP OR TRACKING CALL 1-800-222-1811 [www.usps.gov](http://www.usps.gov)



SEE REVERSE SIDE FOR  
SERVICE GUARANTEE AND  
INSURANCE COVERAGE LIMITS

4787-93

RECEIVED

JUN 06 2002

OFFICE OF PETITIONS

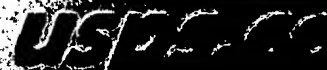


Customer Copy

Best Available Copy

JUN 06 2002

OFFICE OF PETITIONS



[Home](#) | [Sign In](#) | [Find ZIP Codes](#) | [Calculate Postage](#) | [Change Address](#) | [Locate Post Offices](#) | [Track/Confirm](#)

[Shipping center](#)  
[Ship](#)  
[Rates](#)  
[Supplies](#)  
[Web Tools](#)

## Shipping center *Track & Confirm*

### Track & Confirm

[Delivery Confirmation](#)  
[Signature Confirmation](#)

Keyword/Search



### Shipment History

You entered EK05 1318 535U S

Your item was delivered at 11:17 am on December 22, 2001 in ARLINGTON, VA 22202 to US PTO 2327. The item was signed for by E BOSTON.

Here is what happened earlier:

- ARRIVAL AT UNIT, December 22, 2001, 11:03 am, ARLINGTON, VA 22202
- ENROUTE, December 22, 2001, 1:14 am, MERRIFIELD, VA 22081
- ACCEPTANCE, December 20, 2001, 7:03 pm, WHIPPANY, NJ 07999
- ACCEPTANCE, December 20, 2001, 5:00 pm, WHIPPANY, NJ 07999

### Track & Confirm

Enter number from shipping receipt in the field below:

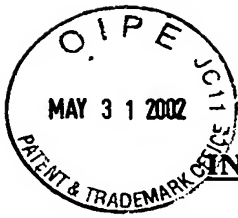
[Request Delivery Record >](#)



POSTAL INSPECTORS  
Preserving the Trust

[site map](#) | [contact us](#) | [FAQs](#) | [search](#) | [keywords](#)

Copyright © 1999-2001 USPS. All Rights Reserved. [Terms of Use](#) [Privacy Policy](#)



COPY OF PAPERS  
ORIGINALLY FILED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Attorney Docket No.:  
For:

Janat Horn et al.  
4797-93  
**System and Method for Facilitating  
Securities Borrowing Transactions**

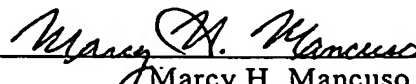
55 Madison Avenue  
Morristown, N.J. 07960  
December 20, 2001

Box Patent Application  
U.S. Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EK051318535US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202.

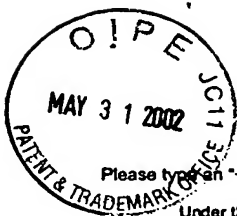
  
\_\_\_\_\_  
Marcy H. Mancuso  
(Mailer)

RECEIVED

JUN 06 2002

OFFICE OF PETITIONS





COPY OF PAPERS  
ORIGINALLY FILED

RECEIVED

JUN 06 2002

OFFICE OF PETITIONS

Please type an "\*" inside this box ☐

PTO/SB/05 (11/00) Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	4797-93
First Inventor	Janat Horn
Title	System and Method for Facilitating Securities Borrowing Transactions
Express Mail Label No.	EK051318535US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
  2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
  3. ☒ Specification [Total Pages (preferred arrangement as set forth below)
    - Descriptive title of the invention
    - Cross References to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to sequence listing, a table, or a computer program listing appendix
    - Background of the invention
    - Brief Summary of the invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
    - Claim(s)
    - Abstract of the Disclosure
  4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets   - 5. Oath or Declaration [Total Pages   - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certification of Mailing

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Leslie Gladstone Restaino, Esq.				
	Brown Raysman Millstein Felder & Steiner LLP				
Address	55 Madison Avenue, 4 <sup>th</sup> Floor				
City	Morristown	State	NJ	Zip Code	07960
Country	USA	Telephone	973-285-3242	Fax	973-285-3262

Name (Print/Type)	Leslie Gladstone Restaino, Esq.	Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>	Date	December 20, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to The Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.